

FY 2000 Self-Assessment Plan

For

NSLS Department

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Prepared by: Original signed by W.R. Casey
Associate Chair for ESH/Q

Date: 1/31/00

Approved by: Original signed by M. Hart
Chair, NSLS Department

Date: 1/31/00

FY 2000 NSLS Self – Assessment Plan

A. Purpose

As a part of BNL's performance based management program, the NSLS has established performance objectives derived from the BNL Critical Outcomes. These performance objectives are established for each fiscal year, and reviewed annually at the end of the fiscal year.

The purpose of the NSLS self-assessment program is to collect data that indicates accomplishment relative to the NSLS performance objectives. Through this review we seek to identify strengths and improvement opportunities that are important to the NSLS mission and organizational success. These reviews are intended to provide feedback to NSLS managers at all levels regarding the performance of the department in the previously determined critical performance objectives.

B. Scope

This self-assessment plan addresses the performance objectives and measures that have been established for NSLS for FY 2000. The plan incorporates guidance provided by the ESH/Q Directorate.

The NSLS Self-Assessment Plan considers each of the following BNL self-assessment framework criteria:

1. Leadership Commitment and Involvement
2. Human Resource Development and Management
3. Customer Focus and Satisfaction
4. Process Management
5. Business and Operational Results
6. Compliance with Laws, Regulations, and Contractual Requirements

The plan includes a set of BNL-required core assessments that will be conducted yearly. Some assessments may be conducted periodically at intervals not exceeding three years.

C. Responsibilities

The NSLS Chair has overall responsibility for ensuring that this Self-Assessment Plan is implemented. This responsibility for conducting self-assessments has been delegated to the NSLS level 2 Managers as defined in the plan. The responsibility for management and administration of the self-assessment program has been delegated to the Associate Chair for ESH/Q.

D. Development of Fiscal Year Performance Objectives

Each year, the Senior Management Team will establish performance objectives for the NSLS. These objectives will be consistent and in support of the BNL Critical Outcomes. In establishing the objectives, the following issues will be considered:

- BNL Critical Outcomes, Objectives, and Performance Measures
- NSLS Operational and business needs
- Changes in Legal or BNL Requirements
- DOE/User/Staff/External Community Views and Expectation
- Significant ESH Issues

Performance objectives established by NSLS will reflect excellence, but will also be consistent with budgetary constraints and should be achievable.

E. Reports

As requested by the Department Chair or other Senior Managers, quarterly reports may be utilized to track status and trends of certain performance objectives. Each assessment activity will be documented through an appropriate report utilizing a format established by the Department. A summary report will be prepared annually that reviews NSLS's over-all performance using a report format and guidance defined by the ESH/Q Directorate. The annual report shall be approved by the Department Chair and the Associate Director for BES and forwarded to the Lab Director.

F. Corrective Actions and Evaluation

The over-all results of the self-assessment activities will be reviewed annually by the Senior Management Team. Any deficiencies identified in the Self-assessment will be discussed with the Senior Manager Team and appropriate corrective actions will be established as needed. Any deficiency that significantly compromises a performance objective will be considered a priority 1 finding and will be addressed in a formal manner. The Associate Chair will track priority one findings until formally closed. Lesser findings do not required formal tracking and will be tracked as deemed necessary by the Management Team.

G. REFERENCES

- FY2000 BNL Critical Outcomes, Performance Objectives, and Measures
- BNL Integrated Assessment Program Management System Description
- Memo dated 12/29/99, from D. Ports to Distribution, "Guidance for Preparing the FY00 Self-assessment Plans"

Attachment A

NSLS Performance Objectives & Measures* for FY 2000

1. Provide High Quality Research Environment

This objective will be evaluated by:

- Progress on high priority projects to improve research capability (see Attachment C)
- Feed-back from Users
- # of experiments
- # of users

2. Operate the NSLS effectively and efficiently

This objective will be evaluated by:

- # of hours of beam availability for X-ray and VUV rings
- adherence to long range schedule

3. Improve the technical capability of NSLS facilities

This objective will be evaluated by:

Progress on high priority projects to improve technical capability (see Attachment C)

4. Maintain Relevance of NSLS Program to DOE Mission and National Needs

This objective will be evaluated by:

- Report of Science Advisory Committee
- Report of DOE program managers
- Report of BSA S&T Committee

5. Provide a high quality work environment for staff

This objective will be evaluated by:

- Feed-back from staff members (Will not be evaluated this fiscal year)
- Timely establishment of a Career Development Planning and Mentoring program for young scientists

* It is anticipated that all identified measures will be completed as scheduled. However, some assessments are Lab requirements and must have highest priority to ensure completion during the fiscal year.

6. Maintain communication with the external community

This objective will be evaluated by:

- # of tours at NSLS
- # of personnel on tours

7. Maintain operational excellence in ESH & Waste Management

This objective will be evaluated by:

- Completion of annual ESH Management Review
- Senior Management Walk-throughs
- Completions of a review of user implementation of beam line responsibilities
- Annual summary report of tier one findings
- Progress on corrective actions identified in Process Improvement Project
- Completion of review of high priority waste generation process

8. Effectively implement new BNL initiatives in ISO 14001, Work Planning, Training & Computer Security.

This objective will be evaluated by:

- Self assessment report of ISM implementation
- Self assessment report of ISO 14001 implementation
- Self-assessment report of upgrades in computer security

Attachment B**FY – 2000 NSLS Self-Assessment Activities Matrix**

Number	NSLS Objective	Method of Evaluation	Performance Measure	Owner	Due Date	CO Link	Bald ridge
NSLS - 01	Provide High Quality Research Environment	Review of progress on high priority projects	Satisfactory Report	Hart	8/30	1.4; 6.3	5.0
NSLS - 02	Provide High Quality Research Environment	Feed-back from Users	Satisfactory Report	Hart	8/30	1.4	3.0
NSLS - 03	Provide High Quality Research Environment	# of experiments	Comparison to other facilities and to NSLS trends	Hart	8/30	1.4	5.0
NSLS - 04	Provide High Quality Research Environment	# of users	Comparison to other facilities and to NSLS trends	Hart	8/30	1.4	5.0
NSLS - 05	Operate NSLS in an effective manner	Review of operating history	Adherence to schedule, hours of beam time provided	Heese	8/30	1.3	4.0
NSLS - 06	Improve the technical capability of NSLS	Review of progress on high priority projects	Satisfactory report	designated Section Head	8/30	1.3; 6.3	5.0
NSLS - 07	Maintain Relevance of NSLS Program	Report of Science Advisory Committee	Satisfactory report	Hart	8/30	1.2	3.0
NSLS - 08	Maintain Relevance of NSLS Program	Report of DOE program managers	Satisfactory report	Hart	8/30	1.2	3.0
NSLS - 09	Maintain Relevance of NSLS Program	Report of BSA S&T Committee	Satisfactory report	Hart	8/30	1.2	3.0
NSLS - 10	Provide a high quality work environment for staff	Review of progress on implementing career planning and mentoring program	Satisfactory report	Hart	8/30	5.3	2.0

Number	NSLS Goal	Method of Evaluation	Performance	Owner	Due Date	CO	Bald
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NSLS Self-Assessment Plan

			Measure			Link	ridge
NSLS - 11	Maintain communication with external community	Review of tour records	# of personnel & # of tours visiting NSLS annually	Terrano	8/30	2.3	3.0
NSLS - 12	Maintain operational excellence in ESH & WM	Completion of annual ESH Management Review	Satisfactory report [*]	Casey	8/30	3.0	1.0
NSLS - 13	Maintain operational excellence in ESH & WM	Senior Management Walk-through	# of walk-throughs	Hart	On-going	3.1	1.0
NSLS - 14	Maintain operational excellence in ESH & WM	Completions of a review of user implementation of beam line responsibilities	Satisfactory report	Casey	5/1	3	5.0
NSLS - 15	Maintain operational excellence in ESH & WM	Tier One Inspection of facilities	Satisfactory report	Casey	8/30	3	6.0
NSLS - 16	Maintain operational excellence in ESH & WM	Completion of Process evaluation corrective actions	Satisfactory report	Casey	8/30	3.1	5.0
NSLS - 17	Maintain operational excellence in ESH & WM	Completion of review of high priority waste generation process	Satisfactory report	Casey	7/1	3.1	4.0
NSLS - 18	Effectively implement new BNL initiatives Work Planning and Training.	Completion of Self assessment report of ISM implementation	Satisfactory report [*]	Casey	3/1	3.2	5.0
NSLS - 19	Effectively implement new BNL initiative in ISO 14001	Completion of self assessment report of ISO 14001 implementation	Satisfactory report [*]	Casey	6/1	3.2	5.0
NSLS - 20	Effectively implement new BNL initiative in Comp. Sec.	Review of progress on implementing BNL security upgrades	Satisfactory report	Terrano	8/30	7.3	4.0

Attachment C

High Priority Projects for Fiscal 2000

I. Improve Research Capability

- Build insertion device exit chamber for X9, X13 and X29 (Woodle)
- Build X29 Magnet Vacuum Chamber (Woodle)
- Procure X25 Cryogenic Cooled Monochromator (Installation FY2001) (Johnson)
- Procure 9 Cell CCD Detector (Installation FY2001) (Johnson)
- Develop X6A Protein Crystallography (Complete FY2001) (Johnson)
- Develop X17 beamline design upgrade (Johnson)
- Develop Turnkey Detector System (Complete FY2001) (Johnson)
- Provide Ultra Small Gap Undulator (Complete FY2001) (Blum)
- Develop U5UA Branch (Complete FY2001) (Johnson)
- Develop PES Chamber (Complete FY2001) (Johnson)
- Design & procure X1B Spectroscopy Beam line (Complete FY2001) (Johnson)

II. Enhance the performance of Storage Rings

- Procure new work stations for accel. control system (Complete FY2001) (Keane)
- Procure RF Cavities 3 & 4 (Complete installation FY2002) (Keane)
- Develop and test Digital feedback Systems for VUV & X-ray (Complete FY2001) (Keane)
- Enhance U3B beam line for diagnostics (Heese)

III. Develop next generation R & D technology

- Contract with SLAC to build additional 2 meters for VISA undulator (Krinsky)
- Continue HGHG experiments (Complete FY2001) (Krinsky)
- Install & begin VISA experiments (Complete FY2001) (Krinsky)
- Develop & test Ultra short bunch length monitor (Johnson)
- Commission electron linac for DUV-FEL (Heese)
- Measure and shim NISUS (Johnson)
- Obtain safety approvals for NISUS operation (Johnson)
- Conduct initial tests of DUV-FEL (SASE) amplifier (Heese)

IV. Refit & maintain the facility infrastructure

- Continue Electrical Safety Improvements in VUV Cable Trays (Keane)
- Continue shielding upgrades in VUV (Complete FY 2001)(Woodle)
- Install X-ray ring loss monitor (Keane)
- Install Fast Valves for VUV Ring (Heese)
- Upgrade Modulator Power Supply (Heese)